

4-13-04

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
15436.99.1

In Re Application Of: **Yonglin Huang, et al.**

Serial No.  
10/623,827

Filing Date  
July 21, 2003

Examiner  
Unassigned

Group Art Unit  
Unknown

Title:

**OPTICAL CIRCULATOR FOR BI-DIRECTIONAL COMMUNICATION NON-PLANAR TOP MIRROR**



Address to:  
Assistant Commissioner for Patents  
Washington, D.C. 20231

**37 CFR 1.97(b)**

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:
- ☐ the statement specified in 37 CFR 1.97(e);
- OR**
- ☐ the fee set forth in 37 CFR 1.17(p).

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**OPTICAL CIRCULATOR FOR BI-DIRECTIONAL COMMUNICATION NON-PLANAR TOP MIRROR**



**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 23-3178 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_
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**Certificate of Mailing by First Class Mail**

I certify that this document and fee is being deposited with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

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Signature of Person Mailing Correspondence

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Typed or Printed Name of Person Mailing Certificate

**\*This certificate may only be used if paying by deposit account.**

*R. Burns Israel*

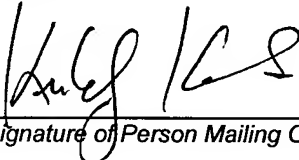
\_\_\_\_\_  
Signature

Dated: April 12, 2004

R. Burns Israel  
Attorney for Applicant  
Registration No. 42,685  
Customer No. 022913

CC:



CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)				Docket No.	
Applicant(s): Huang, et al.				15436.99.1	
Serial No. 10/623,827	Filing Date July 21, 2003	Confirmation No. 5769	Examiner Unassigned	Group Art Unit 2874	
Invention: OPTICAL CIRCULATOR FOR BI-DIRECTIONAL COMMUNICATION					
<p>I hereby certify that the Transmittal letter (2 pages) (in duplicate); Supplemental Information Disclosure Statement (2 pgs); Form PTO-1449 (2 pgs); and postcard are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on <u>April 12</u>, 2004.</p>					
<p>Kimberly Kendrick</p> <p>(Typed or Printed Name of Person Mailing Correspondence)</p> <p></p> <p>(Signature of Person Mailing Correspondence)</p> <p><b>EV 423742228 US</b></p> <p>("Express Mail" Mailing Label Number)</p>					
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A circular stamp from the Office of Intellectual Property (OIP). The text "OIP E JCY1" is curved along the top inner edge, and "PATENT &amp; TRADEMARK OFFICE" is curved along the bottom inner edge. In the center, the date "APR 12 2004" is stamped.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Yonglin Huang, et al.

## Art Unit

July 21, 2003

Examiner: Unassigned

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

DATED this 12 day of April, 200<sup>4</sup>8.

Respectfully submitted,



R. BURNS ISRAELSEN  
Attorney for Applicant  
Registration No. 42,685  
Customer No. 022913

RBI: kk

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EXPRESS MAIL LABEL NO.: EV 423742228 US

Form PTO-1449

Sheet 1 of 2

Applicant: Yonglin Huang, et al.

Serial No.: 10/623,827

Att'y Docket No.: 15436.99.1

Filing Date: July 21, 2003

Confirmation No.: Unknown

For: OPTICAL CIRCULATOR FOR BI-DIRECTIONAL  
COMMUNICATION

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SUPPLEMENTAL INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANT

U.S. Patent Documents

<u>Examiner</u> <u>Initial*</u>	<u>Patent/Publ</u> <u>Number</u>	<u>Issue/Publ</u> <u>Date</u>	<u>Name</u>	<u>Filing</u> <u>Date</u>
_____ A1.	6,636,651	10/21/03	Li	06/08/01
_____ A2.	6,493,141	12/10/02	Cao, et al.	12/18/00
_____ A3.	6,407,961	06/18/02	Zhang, et al.	04/06/99
_____ A4.	6,178,044	01/23/01	Li, et al.	08/31/99
_____ A5.	5,642,448	06/24/97	Pan, et al.	03/28/96
_____ A6.	US 2002/0168128	11/14/02	Chang, et al.	02/25/02
_____ A7.	US 2002/0126945	09/12/02	Konishi, et al.	12/05/01

Foreign Patent Documents

<u>Examiner</u> <u>Initial*</u>	<u>Document</u> <u>Number</u>	<u>Publ.</u> <u>Date</u>	<u>Country or</u> <u>Patent Office</u>	<u>Sub</u> <u>Class</u>	<u>Class</u>	<u>Trans-</u> <u>lation</u>
NONE						

Other Documents

(including author (if listed), title, relevant pages, date of publication including at least month and year).

Examiner

Initial\*

NONE

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Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



EXPRESS MAIL LABEL NO.: EV 423742228 US

Form PTO-1449

Sheet 2 of 2

Applicant: Yonglin Huang, et al.

Serial No.: 10/623,827

Att'y Docket No.: 15436.99.1

Filing Date: July 21, 2003

Confirmation No.: Unknown

For: OPTICAL CIRCULATOR FOR BI-DIRECTIONAL  
COMMUNICATION

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### References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

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Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.